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| FORM PTO-1390 (Modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE<br>(REV. 1-2000)  |  | ATTORNEY'S DOCKET NUMBER<br><b>2002FR301</b>                                |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371   |  | U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR<br><b>NOT ASSIGNED 10/500986</b> |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/IB03/00535</b>   | INTERNATIONAL FILING DATE<br><b>February 2, 2003</b> | PRIORITY DATE CLAIMED<br><b>February 13, 2002</b>                           |
| TITLE OF INVENTION<br><b>PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES</b>   |  |   |
| APPLICANT(S) FOR DO/EO/US<br><b>Eric JACQUINOT, Didier BOUVET, Patrice BEAUD</b>   |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |   |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input checked="" type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol> <p><b>Items 13 to 20 below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input checked="" type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Express Mail Label No. <u>EV 068893315 US</u></li> <li>23. <input checked="" type="checkbox"/> Other items or information:<br/><br/> <div style="margin-left: 20px;"> <b>Form PCT/IPEA/416</b><br/> <b>Form PCT/IB/306</b> </div> </li> </ol> |  |   |

|   |              |  |           |  |    |
|---|--------------|--|-----------|--|----|
| U.S. APPLICATION NO. IF KNOWN SEE 37 CFR 1.53(b)<br><b>10/500986</b><br>NOT ASSIGNED  |              | INTERNATIONAL APPLICATION NO.<br><b>PCT/IB03/00535</b> |           | ATTORNEY'S DOCKET NUMBER<br><b>2002FR301</b> |    |
| 24. The following fees are submitted:.  |              |  |           | CALCULATIONS PTO USE ONLY                    |    |
| <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b>  |              |  |           |  |    |
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1080.00                            |              |  |           |  |    |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$920.00  |              |  |           |  |    |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$770.00  |              |  |           |  |    |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$730.00   |              |  |           |  |    |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00   |              |  |           |  |    |
| <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>   |              |  |           | <b>\$920.00</b>                              |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).  |              |  |           | <b>\$0.00</b>                                |    |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA   | RATE      |  |    |
| Total claims  | 22 - 20 =    | 2  | x \$18.00 | <b>\$36.00</b>                               |    |
| Independent claims  | - 3 =        | 0  | x \$86.00 | <b>\$0.00</b>                                |    |
| Multiple Dependent Claims (check if applicable). <input type="checkbox"/>   |              |  |           | <b>\$0.00</b>                                |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |  |           | <b>\$956.00</b>                              |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |  |           | <b>\$0.00</b>                                |    |
| <b>SUBTOTAL =</b>   |              |  |           | <b>\$956.00</b>                              |    |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).   |              |  |           | <b>\$0.00</b>                                |    |
| <b>TOTAL NATIONAL FEE =</b>   |              |  |           | <b>\$956.00</b>                              |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>  |              |  |           | <b>\$0.00</b>                                |    |
| <b>TOTAL FEES ENCLOSED =</b>  |              |  |           | <b>\$956.00</b>                              |    |
|   |              |  |           | Amount to be refunded                        | \$ |
|   |              |  |           | charged                                      | \$ |
| a. <input type="checkbox"/> A check in the amount of _____ to cover the above fees is enclosed.   |              |  |           |  |    |
| b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>03-2060</u> in the amount of <u>\$956.00</u> to cover the above fees.  |              |  |           |  |    |
| c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-2060</u>   |              |  |           |  |    |
| d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038. |              |  |           |  |    |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.  |              |  |           |  |    |
| SEND ALL CORRESPONDENCE TO:   |              |  |           |  |    |
| ALAN P. KASS<br>CLARIANT CORPORATION<br>70 MEISTER AVENUE<br>SOMERVILLE, NJ 08876<br><br>Customer No. 26289   |              |  |           |  |    |
| SIGNATURE<br><u>Alan P. Kass</u><br>ALAN P. KASS<br>NAME<br><u>32,1422</u><br>REGISTRATION NUMBER<br><u>July 6, 2004</u><br>DATE  |              |  |           |  |    |

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|------------------------|----------------|
| Application Number     | To be Assigned |
| Filing Date            | July 6, 2004   |
| First Named Inventor   | Eric JACQUINOT |
| Art Unit               | To be Assigned |
| Examiner Name          | To be Assigned |
| Attorney Docket Number | 2002FR301      |

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I am the:

- ☐ Applicant/Inventor
- ☐ Assignee of record of the entire interest.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
- ☒ Attorney or Agent of record. Registration Number 32142
- ☐ Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number \_\_\_\_\_

Typed or Printed  
Name Alan P. Kass (Customer No. 25255)

Signature

Date July 6, 2004

Telephone (908) 595-3890

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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10/500986

DT15 JUL 6 2004 2004

**CERTIFICATE OF MAILING "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Eric JACQUINOT, Didier BOUVET, Patrice BEAUD

Docket No.

2002FR301

|                                 |                             |                          |                       |                                |
|---------------------------------|-----------------------------|--------------------------|-----------------------|--------------------------------|
| Application No.<br>NOT ASSIGNED | Filing Date<br>July 6, 2004 | Examiner<br>NOT ASSIGNED | Customer No.<br>26289 | Group Art Unit<br>NOT ASSIGNED |
|---------------------------------|-----------------------------|--------------------------|-----------------------|--------------------------------|

Invention:

**PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES**

I hereby certify that the following correspondence:

**International Preliminary Examination Report - 7 Pages***(Identify type of correspondence)*

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**CERTIFICATE OF MAILING "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Eric JACQUINOT, Didier BOUVET, Patrice BEAUD

Docket No.

2002FR301

Application No.  
NOT ASSIGNEDFiling Date  
July 6, 2004Examiner  
NOT ASSIGNEDCustomer No.  
26289Group Art Unit  
NOT ASSIGNED

Invention:

**PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES**

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**CERTIFICATE OF MAILING "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Eric JACQUINOT, Didier BOUVET, Patrice BEAUD

Docket No.

2002FR301

Application No.  
NOT ASSIGNEDFiling Date  
July 6, 2004Examiner  
NOT ASSIGNEDCustomer No.  
26289Group Art Unit  
NOT ASSIGNED

Invention:

**PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES**

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Applicant(s): Eric JACQUINOT, Didier BOUVET, Patrice BEAUD

Docket No.

2002FR301

Application No.  
NOT ASSIGNED

Filing Date  
July 6, 2004

Examiner  
NOT ASSIGNED

Customer No.  
26289

Group Art Unit  
NOT ASSIGNED

Invention:

**PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES**

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|                                 |                             |                          |                       |                                |
|---------------------------------|-----------------------------|--------------------------|-----------------------|--------------------------------|
| Application No.<br>NOT ASSIGNED | Filing Date<br>July 6, 2004 | Examiner<br>NOT ASSIGNED | Customer No.<br>26289 | Group Art Unit<br>NOT ASSIGNED |
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Invention:

**PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES**

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Applicant(s): Eric JACQUINOT, Didier BOUVET, Patrice BEAUD

Docket No.

2002FR301

|                                 |                             |                          |                       |                                |
|---------------------------------|-----------------------------|--------------------------|-----------------------|--------------------------------|
| Application No.<br>NOT ASSIGNED | Filing Date<br>July 6, 2004 | Examiner<br>NOT ASSIGNED | Customer No.<br>26289 | Group Art Unit<br>NOT ASSIGNED |
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Invention:

**PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES**

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An English language translation of the amendments to the claims under PCT Article 19  
(35 U.S.C. 371(c)(3)) - 3 Pages

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| Application No.<br>NOT ASSIGNED   | Filing Date<br>July 6, 2004 | Examiner<br>NOT ASSIGNED | Customer No.<br>26289   | Group Art Unit<br>NOT ASSIGNED |

Invention:

**PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES**

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| Application No.<br>NOT ASSIGNED  | Filing Date<br>July 6, 2004 | Examiner<br>NOT ASSIGNED | Customer No.<br>26289   | Group Art Unit<br>NOT ASSIGNED |
| Invention:<br><p style="text-align: center;"><b>PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES</b></p>  |                             |                          |                         |                                |
| I hereby certify that the following correspondence:<br><div style="border: 1px solid black; padding: 10px; margin: 10px 0; text-align: center;"> <b>Change Of Correspondence Address - 1 Page</b> </div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="text-align: center;"> <u>July 6, 2004</u><br/> <i>(Date)</i> </div> <div style="text-align: center;"> <u>MARIA T. SANCHEZ</u><br/> <i>(Typed or Printed Name of Person Mailing Correspondence)</i><br/> <br/> <i>(Signature of Person Mailing Correspondence)</i> </div> </div> <div style="text-align: center; margin-top: 10px;"> <u>EV 068893315 US</u><br/> <i>("Express Mail" Mailing Label Number)</i> </div> |                             |                          |                         |                                |
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**CERTIFICATE OF MAILING "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Eric JACQUINOT, Didier BOUVET, Patrice BEAUD

Docket No.

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NOT ASSIGNED

Invention:

**PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES**

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Docket No. 06 JUL 21

**Applicant(s):** Eric JACQUINOT, Didier BOUVET, Patrice BEAUD

Docket No:

2002FR301

**Filing Date**  
**July 6, 2004**

Examiner  
**NOT ASSIGNED**

Customer No.  
**26289**

Group Art Unit  
**NOT ASSIGNED**

**Invention:**

## PROCESS FOR THE CHEMICAL-MECHANICAL POLISHING OF METAL SUBSTRATES

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**July 6, 2004**

**(Date)**

**MARIA T. SANCHEZ**

(Typed or Printed Name of Person Mailing Correspondence)

*(Signature of Person Mailing Correspondence)*

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